

## APPENDIX C

### LIMITED LIABILITIES COMPANY “LLC” REQUIREMENTS

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Submit the following documentation. Assure that the copies of any legal or business documents are clean and legible and marked so the document can be identified to the question being asked. If you have to add to the document, assure that the information is neatly written or type on sheets of white 8½ X 11 inch paper.

1. **LLC Agreement** to include at least the name of the Managing Member and units issued, purpose, duration, capital, cash, and or non-cash distributions, and member’s withdrawal procedures.
2. A copy of your **LLC Certificate of Formation** stating but not limited to managing members, units issued, purpose and duration. If the Certificate of Formation is not date stamped, include the certificate page verifying that it has been recorded with the Secretary of State’s office.
3. Complete and sign the attached **Disclosure of LLC Members / Managers** (GC4-017b).
4. If a multi-level organizational structure, a schematic diagram of your organizational structure and for each level of ownership refer to number 1, 2, 3, 4, 5, 6, and 7. (**NOTE:** If one of the levels is a Corporation, please refer to Appendix D.)
5. **All LLC members, substantial interest holders, and their spouses must complete *Personal / Criminal History Statement* (BLS-700-301) and *Authorization for Examination and Release of Information* (GC4-299).** Managing member must countersign all *Personal / Criminal History Statements*. Upon review, a technician will inform you if you are required to submit fingerprint cards.
6. **Positive Identification** required on each person by sending a clear photocopy of one of the official documents listed below: (Ensure photograph is identifiable.)
  - a. A valid identification card or drivers license;
  - b. A military identification card;
  - c. A valid passport; **OR**
  - d. An alien registration card.
7. **Copies of any Civil, Criminal, or Administrative Action**, if applicable (see below).

Describe in full:

- a. Any previous or pending actions by or against the applicant.
  - b. Any administrative actions from other gambling regulatory agencies, including those from other countries.
8. **Complete the *Financial Statement* (GC4-320) and *Source of Funds Statement* (GC4-321).**

Per WAC 230-06-080, it is required that you submit all requested supporting information / documents proving where your financial source(s) of funds came from to purchase business / premises.

**NOTE:** You will need to provide a separate *Financial Statement* (GC4-320) and *Source of Funds Statement* (GC4-321) for an individual and legal entity. (i.e. Corporations, LLC, or Partnerships)

a. **Examples of source(s) of funds not limited to the following:**

- Loan agreement(s) and promissory note(s);
- Signed and dated business purchase agreements, sales agreements, and closing documents;
- Signed and dated premises purchase agreements, sales agreements, and closing documents;
- Front and back copy of the earnest money and down payment to purchase this business / premises;
- Copy of your personal and business bank statement for the last 12 months and signature cards for these accounts;
- Copy of your personal and business (if business has been up and running prior to this application) IRS tax statements for the last 2 years; and / or
- Provide proof of where the funds came from to start / open this business.

b. **Source of funds from other than a recognized financial institution (see below):**

- If your purchase was financed by or from a non-financial source, such as a relative, a friend, or other sources that are not federal or state recognized financial institution; have each source complete:
- A *Financial Statement* (GC4-320) and *Source of Funds Statement* (GC4-321) with supporting information / documents (see examples in 8.a. above) on all individuals you identify; and
- *Personal / Criminal History Statement* (BLS-700-301) on all individuals you identify.